

DEPARTMENT OF THE SECRETARY OF STATE  
REGISTRATION AND INVESTIGATION SERVICES  
CHARITABLE SOLICITATION LICENSING DIVISION

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

CHARITABLE SOLICITATION LICENSING DIVISION

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.


The Department of the Secretary of State and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative business and when the Department certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them. As part of its program operations the Department of the Secretary of State agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed.

E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any E-mail messages requiring retention longer than 10 years, including those with permanent historical value, shall be designated with specific retention periods in this program records schedule. Public records including electronic records not listed in this schedule or in the General Schedule for State Agency Records are not authorized to be destroyed. The

CHARITABLE SOLICITATION LICENSING DIVISION

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.


APPROVAL RECOMMENDED



Ann Wall, Chief Records Officer  
Department of the Secretary of State

  
Heather Black, Director  
Charitable Solicitation Licensing Division  
Sarah E. Koonts, Director  
Division of Archives and Records

APPROVED

  
Elaine Marshall  
Secretary of State  
Linda A. Carlisle, Secretary  
Division of Historical Resources

**DEPARTMENT OF THE SECRETARY OF STATE  
REGISTRATION AND INVESTIGATION SERVICES  
CHARITABLE SOLICITATION LICENSING DIVISION**

**ITEM 7715. SOLICITATION LICENSING CORRESPONDENCE FILE.**

Correspondence written and received by the Solicitation Licensing Branch concerning activities of questionable organizations and/or solicitors.

DISPOSITION INSTRUCTIONS: Item discontinued. Records transferred to Registered and Sponsor Organization File (Item 1745) and Licensed Professional Fund Raising Consultant and Professional Solicitors File (Item 7708).

**ITEM 7717. CHECK DEPOSIT AND MAIL LOGS FILE.**

Daily log generated by Cash Management including list of all checks deposited and mail received by the Division.

DISPOSITION INSTRUCTIONS: Scan paper records in office. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Destroy electronic records in office after 2 years.

**ITEM 14529. EXEMPT ORGANIZATIONS APPLICATION FILE.**

Records in paper and electronic format, including e-mail, concerning organizations which were considered for exemption. File includes applications and correspondence. Information entered into the Charitable or Sponsor Organizations Database (Electronic) File (Item 40194).

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Registered and Sponsor Organization File (Item 1745).

**ITEM 40193. ANNUAL REPORTS FILE.**

Reports listing detailed summary of professional solicitors' activities in North Carolina. Reports include names of professional solicitors and/or sponsors, gross sales or amount of funds raised, number of sponsor events, amount of proceeds to each charity or sponsor, and percentage of net or gross proceeds to each charity or sponsor.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 40194. CHARITABLE OR SPONSOR ORGANIZATIONS DATABASE (ELECTRONIC) FILE.**

Electronic records concerning each charitable or sponsor organization applying for license or exemption to solicit funds within the state. Electronic file includes names of organizations, license or exemption numbers, names of contact person, addresses, telephone numbers, license expiration dates, and other related data.

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

**ITEM 40195. CHARITABLE ORGANIZATIONS (PRINTOUTS) FILE.**

Computer generated printouts produced from Charitable or Sponsor Organizations Database (Electronic) File (Item 40194). Printouts list name of organizations, license numbers, license expiration dates, names of contact person, addresses, and other related data.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 40197. PROFESSIONAL SOLICITORS DATABASE (ELECTRONIC) FILE.**

Electronic records concerning each professional fund raising consultant and professional solicitor applying for license to act within the state. Electronic file includes names of professional fund-raising consultants and professional solicitors, license numbers, names of contact person, addresses, telephone numbers, license expiration dates, and other related data.

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

**DEPARTMENT OF THE SECRETARY OF STATE  
REGISTRATION AND INVESTIGATION SERVICES  
CHARITABLE SOLICITATION LICENSING DIVISION**

**ITEM 1745. REGISTERED CHARITABLE AND SPONSOR ORGANIZATION FILE.**

Records in paper and electronic formats, including e-mail, concerning each licensed application or request for exemption from registration requirements to solicit contributions within the state filed by charitable organizations or sponsors, including federated fundraising organizations. File includes correspondence between the Division and applying entities, copies of licenses and exemptions, license and exemption documents and other related records. Records are scanned and images are entered into the Secretary of State Knowledge Base (SOSKB). Information is entered into Charitable or Sponsor Organizations Database (Electronic) File (Item 40194).

**DISPOSITION INSTRUCTIONS:** Scan in office paper records when received. Print and scan in office electronic records, including e-mail, when received. E-mail is retained in the department's Messaging Architects GWArchive for 10 years and then destroyed. Destroy in office paper and electronic copies of scanned records after all quality control procedures have been completed. Update in office routinely. Retain scanned images in Secretary of State Knowledge Base (SOSKB) permanently.

**ITEM 7705. OTHER STATE'S SOLICITATION LAWS FILE.**

Correspondence with other states concerning those states' solicitation laws. File also includes copies of other states' laws and applications for solicitor's license.

**DISPOSITION INSTRUCTIONS:** Item discontinued. All records destroyed.

**ITEM 7707. INACTIVE SOLICITATION LICENSE FILE.**

Records concerning each organization that held a license to solicit funds in the state but allowed it to expire. File includes applications, articles of incorporation, articles of organization, and other related records.

**DISPOSITION INSTRUCTIONS:** Transfer records to Registered and Sponsor Organization File, (Item 1745). Destroy records in the State Records Center immediately.

**ITEM 7708. LICENSED PROFESSIONAL FUND RAISING CONSULTANT AND PROFESSIONAL SOLICITORS FILE.**

Records in paper and electronic formats, including e-mail, concerning each professional fund raising consultant and professional solicitor license application to provide such services within the state. File includes correspondence between the Division and fundraising consultants and solicitors, copies of license documents and other related records. Records are scanned and images are entered into the Secretary of State Knowledge Base (SOSKB). Information is entered into Professional Solicitors Database (Electronic) File (Item 40197).

**DISPOSITION INSTRUCTIONS:** Scan in office paper records when received. Print and scan in office electronic records, including e-mail, when received. E-mail is retained in the department's Messaging Architects GWArchive for 10 years and then destroyed. Destroy in office paper and electronic copies of scanned records after all quality control procedures have been completed. Update in office routinely. Retain scanned images in Secretary of State Knowledge Base (SOSKB) permanently.

**ITEM 7711. PENDING FILE.**

Records in paper and electronic formats including e-mail, concerning the applications from charitable or sponsor organizations, professional fundraising consultants, and professional solicitors being considered for licensure. File also includes all correspondence between the division and the organization or solicitor which is essential to determining licensure status.

**DISPOSITION INSTRUCTIONS:** Transfer paper and electronic records, including e-mail, to the Registered Charitable and Sponsor Organization File (Item 1745) and Licensed Professional Fundraising Consultant and Professional Solicitors File (Item 7708) when license or exemption is issued or denied. Destroy in office remaining paper and electronic records when reference value ends.

**DEPARTMENT OF THE SECRETARY OF STATE  
REGISTRATION AND INVESTIGATION SERVICES  
CHARITABLE SOLICITATION LICENSING DIVISION**

**ITEM 40198. PROFESSIONAL SOLICITORS (PRINTOUTS) FILE.**

Computer generated printouts produced from Professional Solicitors Database (Electronic) File (Item 40197). Printouts list names of fund raising counsels and/or professional solicitors, license numbers, names of contact person, addresses, telephone numbers, license expiration dates, and other related data.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 50185. PROFESSIONAL FUNDRAISING CONSULTANT CONTRACT FILE.**

Records concerning contracts in paper and electronic formats, including e-mail, between professional fundraising consultants and charitable organizations or sponsors filed with the Division. Records are scanned and images are entered into the Secretary of State Knowledge Base (SOSKB).

DISPOSITION INSTRUCTIONS: Scan in office paper records when received. Print and scan in office electronic records, including e-mail, when received. E-mail is retained in the department's Messaging Architects GWArchive for 10 years and then destroyed. Destroy in office paper and electronic copies of scanned records after all quality control procedures have been completed. Update in office routinely. Retain scanned images in Secretary of State Knowledge Base (SOSKB) permanently.

**ITEM 50186. PROFESSIONAL SOLICITOR FILINGS FILE.**

Records in paper and electronic formats, including e-mail, concerning contracts between professional solicitors and charitable organizations or sponsors, solicitation campaign notices, and solicitation campaign financial reports. Records are scanned and images are entered into the Secretary of State Knowledge Base (SOSKB).

DISPOSITION INSTRUCTIONS: Scan in office paper records when received. Print and scan in office electronic records, including e-mail, when received. E-mail is retained in the department's Messaging Architects GWArchive for 10 years and then destroyed. Destroy in office paper and electronic copies of scanned records after all quality control procedures have been completed. Update in office routinely. Retain scanned images in Secretary of State Knowledge Base (SOSKB) permanently.

**ITEM 50187. ENFORCEMENT COMPLIANCE FILE.**

Records in paper and electronic formats, including e-mail, concerning compliance efforts by the Division. File includes correspondence with charitable organizations, sponsors, professional fundraising consultants or professional solicitors. Records are scanned and images are entered into the Secretary of State Knowledge Base (SOSKB).

DISPOSITION INSTRUCTIONS: Scan in office paper records when received. Print and scan in office electronic records, including e-mail, when received. E-mail is retained in the department's Messaging Architects GWArchive for 10 years and then destroyed. Destroy in office paper and electronic copies of scanned records after all quality control procedures have been completed. Update in office routinely. Retain scanned images in Secretary of State Knowledge Base (SOSKB) permanently.

**ITEM 50188. OPEN ENFORCEMENT CASE FILE.**

Records in paper and electronic formats, including e-mail, concerning investigations of potential violations by persons or organizations to conduct solicitation activities with the intent to deceive, fraud, and misrepresent in the solicitation and reporting of contributions.

DISPOSITION INSTRUCTIONS: E-mail is retained in the department's Messaging Architects GWArchive for 10 years and then destroyed. Scan paper records in office. Transfer paper and electronic records to Closed Enforcement Case File (Item 50189) when case is closed.

**DEPARTMENT OF THE SECRETARY OF STATE  
REGISTRATION AND INVESTIGATION SERVICES  
CHARITABLE SOLICITATION LICENSING DIVISION**

**ITEM 50189. CLOSED ENFORCEMENT CASE FILE.**

Records in paper and electronic formats, including e-mail, concerning investigations of potential violations by persons or organizations to conduct solicitation activities with the intent to deceive, fraud, and misrepresent in the solicitation and reporting of contributions. Records are scanned and images are entered into the Secretary of State Knowledge Base (SOSKB).

**DISPOSITION INSTRUCTIONS:** Scan in office paper records when received. Print and scan in office electronic records, including e-mail, when received. E-mail is retained in the department's Messaging Architects GWArchive for 10 years and then destroyed. Destroy in office remaining electronic copies of scanned records after all quality control procedures have been completed. Transfer paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then destroyed. Update in office routinely. Retain scanned images in Secretary of State Knowledge Base (SOSKB) permanently.